APPLICATION FOR RECORDS RETENTION SCHEDULE

**OFFICE OF THE SECRETARY OF STATE
DEPARTMENT OF ARCHIVES AND HISTORY
RECORDS MANAGEMENT DIVISION**

890714-03

FOR AGENCY USE	1. Agency Address	FOR RECORDS MANAGEMENT USE
Application Date	Commissioner of Insurance Examination Section	**Application Number** 89-065
Application Number	Insurance Departmetn – ~~Regulatory Laws~~ 604 West Tower – Floyd Building 200 Piedmont Avenue, S.E. Atlanta, Ga 30334	**Date Received** JUL 1 4 1989 **Date Completed** AUG 1 4 1989

2. Person to Contact	**Working Title**	**Telephone Number**
Mary Jane Johnston	Administrative Clerk	656–2076

3. Action Requested

a. XX Establish Retention Schedule; record will continue to accumulate.

b. ☐ Dispose of present accumulation; no further accumulation anticipated.

c. ☐ Amend Application No.–_____ Check One: ☐ Change; ☐ Supercede; ☐ Void

4. Dates of Series	**5. Records Series Title** *(followed by title used in office; if different)*
Earliest Latest	
1974	present	Domestic Company Examination work papers

6. Division and Office Function   What is the function of the Division and the Office in which this record series is created?

The Commissioner of Insurance is responsible for regulating insurance companies and for administering insurance–related laws; supervising and licensing loan companies making loang of $3,000 or less; and enforcing the State's Fire and Safety Laws and Mobile Home sales regulations.

The Insurance Division supervises insurance companies and agents, examines policy forms, policy rates, and administers insurance related laws, and collects premium taxes. The Division also licenses agents and companies and investigates consumer complaints.

7. Record Series Description   This file contains the following documents *(include form numbers and titles, if any):* **Attach samples of the file.**

Documents relating to:

Examinations conducted under O. C. G. A. 33–2–11

Included are:

The examiners work papers and status reports

File is arranged: alphabetically and yearly
(by name of insurance company)

8. Monthly Reference Rate   How often are records referred to which are:

One to six months old ___15___; Seven to twelve months old ___12___; Thirteen to twenty-four months old ___6___;
twenty-five months and older___3___ ?

9. Annual Rate of Accumulation of Records
Letter-size drawers _____; Legal-size drawers ___3___; Shelves _____; Other *(specify)* _____
Current accumulation approximately 3 cubic feet.

YES	NO	10. Questionnaire (Place an "X" [in] the proper column)		
X		a. Is this the official copy of the series? If not, where is it?		
	X	b. Does the series contain confidential information requiring security handling? If yes, cite law or regulation.		
	X	c. Is this a vital record?		
	X	d. Does this series have historical or long term research value?		
	X	e. When one or two documents in the file make it necessary to keep the entire file for a long period, could these documents be scheduled separately?		
	X	f. Is the information contained in this series ever published? If yes, attach copy.		
	X	g. Is the information contained in this series ever analyzed and/or recorded in a summarized report? If yes, attach copy.		
	X	h. Is there a duplication of this series in your office, or in another office or agency? If yes, where?		
	X	i. Is this series (or a major portion of it) regularly microfilmed?		
	X	j. Does the record series result in a computer printout?		

11. Retention Requirements   The following requires the series to be kept:

a. State Law	_____ years.	d. Audit period	___4___ years.	
b. Statute of limitation	_____ years.	e. Administrative need	___10___ years.	
c. Federal law	_____ years.	f. Federal retention instructions	_____ years.	

Attach copy or excerpt of laws or regulations. Explain administrative need.

Working papers needed for reference when current examinations being conducted.
Ten year retention will insure two (2) previous examination's working papers
are available when current examination is being conducted.   8/7/89. NRF.

12. Approved Disposition Instructions   This agency recommends that the file series be cut off at the end of each:

XXX Calendar Year; ☐ Fiscal Year; ☐ Other _____ then,

XX Hold in the current files area _____ month(s) ___4___ year(s); then
☐ Transfer to local holding area, hold _____ year(s); then
XX Transfer to State Records Center; hold ___6¼²___ year(s); then
XX Destroy.
☐ Transfer to State Archives for permanent retention.
☐ Other (Specify)

Revision to application approved by Donald Walker, Assistant Director- Chief
Examiner on 8/7/89.   NRF.

These instructions apply to all prior and future accumulations of the series.

Agency Head/Designee (Signature)	Date	Records Management Officer (Signature)	Date
Ralph Loy	7-3-89	*Fred Anderson*	7/13/89

896714-03

Recommendations in para- graph 12 are approved. (If disapproved, attach letter of explanation.) 89-065	State Records Committee (Signature)	Date
	State Auditor/Designee	*W. X. Sellu*	8-11-89
	Secretary of State/Designee	*Edward Weedo*	8/10/89
	~~Governor~~ ~~Attorney~~ General/Designee XXXXX	*W. H. Roper*	8/14/89